

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Dexiang CHEN et al.

Title: INDUCTION OF MUCOSAL IMMUNITY BY VACCINATION VIA THE SKIN ROUTE

Prior Appl. 09/710,104  
No.:

Prior Appl. 11/09/2000  
Filing Date:

Examiner: Unassigned

Art Unit: Unassigned

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.56**

Mail Stop PATENT APPLICATION  
Commissioner for Patents  
PO Box 1450  
Alexandria, Virginia 22313-1450

Sir:

Applicant submits herewith on Form PTO/SB/08 a listing of the documents cited by or submitted to the U.S. PTO in parent application Serial No. 09/710,104, filed 11/09/2000. As provided in 37 CFR §1.98(d), copies of the documents are not being provided since they were previously submitted to the United States Patent & Trademark Office in the above-identified parent application.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicants do not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

**TIMING OF THE DISCLOSURE**

The listed documents are being submitted in compliance with 37 CFR §1.97(b), within three (3) months of the filing date of the application.

**RELEVANCE OF EACH DOCUMENT**

All of the documents are in English.

Applicants respectfully request that any listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

The Commissioner is hereby authorized to charge any additional fees which may be required regarding this application under 37 CFR §§ 1.16-1.17, or credit any overpayment, to Deposit Account No. 19-0741. Should no proper payment be enclosed herewith, as by a check being in the wrong amount, unsigned, post-dated, otherwise improper or informal or even entirely missing, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 19-0741.

Respectfully submitted,

Date December 2, 2003

By Richard C. Peet

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## Substitute for form 1449B/PTO

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

Date Submitted: December 2, 2003

(use as many sheets as necessary)

Sheet

1 of 4

## Complete if Known

Application Number	APPL_NO
Filing Date	12/02/2003
First Named Inventor	Dexiang CHEN
Group Art Unit	Unassigned
Examiner Name	Unassigned

Attorney Docket Number 036481-0143

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
A1	4,945,050			Sanford et al.	07/31/1990	
A2	5,100,792			Sanford et al.	03/31/1992	
A3	5,120,657			McCabe et al.	06/09/1992	
A4	5,149,655			McCabe et al.	09/22/1992	
A5	5,204,253			Sanford et al.	04/0/1993	
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A30	6,194,389			Johnston et al.	02/27/2001	

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Documents	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
A31		WO	94/24263			10/27/1994		
A32		WO	96/02555			02/01/1996		
A33		WO	96/04947			02/22/1996		
A34		WO	96/12513			05/02/1996		
A35		WO	96/14855			05/23/1996		
A36		WO	96/20022			07/04/1996		

Examiner Signature

Date Considered

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Substitute for form 1449B/PTO				Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  Date Submitted: December 2, 2003  <i>(use as many sheets as necessary)</i>				Application Number	APPL_NO
Sheet	2	of	4	Filing Date	12/02/2003
				First Named Inventor	Dexiang CHEN
				Group Art Unit	Unassigned
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	A37	WO 97/44446			11/27/1997	
	A38	WO 97/48485			12/24/1997	
	A39	WO 98/10750			03/19/1998	
	A40	WO 98/20734			05/22/1998	
	A41	WO 99/27961			06/10/1999	
	A42	WO 99/33488			07/08/1999	

NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.
	A43	LOBB, C.J., (1987) Developmental and Comparative Immunology <u>11</u> : 727-738 (abstract only)
	A44	HART et al., (1988) Developmental and Comparative Immunology <u>12</u> :453-480 (abstract only)
	A45	DICKERSON et al., (1988) Immunological Reviews <u>166</u> :377-384 (abstract only)
	A46	ORKIN et al., (1995) "Report and Recommendations of the Panel to Assess the NIH Investment in Research on Gene Therapy"
	A47	PAUL et al., (1995) Eur. J. Immunology <u>25</u> :3521-3524
	A48	KRIEG et al., (1995) Nature <u>374</u> :546-549
	A49	SATO et al. (1996) Science <u>273</u> :352-354
	A50	WOOLDRIDGE et al. (1997) Blood <u>89</u> :2994-2998
	A51	KLINMAN, D.M. (1998) Antisense and Nucleic Acid Drug Development <u>8</u> :181-184
	A52	KRIEG, A. (1998) Biodevices <u>10</u> :341-346

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	A53	MACFARLANE et al. (1998) J. Immunology <u>160</u> :1122-1131		
	A54	GLENN et al. (1998) J. Immunology <u>161</u> :3211-3214 (abstract only)		
	A55	GUY et al. (1998) Vaccine <u>16</u> :850-856 (abstract only)		
	A56	MCCLUSKIE et al. (1998) J. Immunology <u>161</u> :4463-4466		
	A57	SPARWASSER et al. (1998) J. Immunology <u>28</u> : 2045-2054		
	A58	PORTER et al. (1998) Archives of Virology <u>143</u> :997-1003		
	A59	MOLDOVEANU et al. (1998) Vaccine <u>16</u> :1216-1224		
	A60	PAUL et al. (1998) Vaccine <u>16</u> :188-195		
	A61	SPIEGLBERG et al. (1998) Allergy <u>53</u> :93-97		

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	A63	VINNER et al. (1999) Vaccine <u>17</u> :2166-2175		
	A64	MCCLUSKIE et al. (1999) Critical Reviews in Immunology <u>19</u> :303-329		
	A65	SCHARTON-KERSTEN et al. (1999) Vaccine <u>17</u> (suppl. 2):S37-S43		
	A66	MCCLUSKIE et al. (1999) Vaccine <u>18</u> :231-237		
	A67	GLENN (1999) Infection and Immunity <u>67</u> :1100-1106		
	A68	GLENN et al. (1999) "Avances in vaccine delivery: transcutaneous immunization," Expert Opinion On Investigational Drugs <u>8</u> (6):797-805		
	A69	BABIUK et al. (2000) J. Controlled Release <u>66</u> :199-214		

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